

**REQUEST FOR PROPOSAL FOR A FINANCIAL AUDIT OF
THE DISTRICT OF COLUMBIA COURTS'**

DISTRICT OF COLUMBIA COURTS

**DISTRICT OF COLUMBIA SUPERIOR COURT
OFFICE OF CONTRACTS AND PROCUREMENT**

**REQUEST FOR TASK ORDER PROPOSALS FROM
GSA FEDERAL SUPPLY SCHEDULE CONTRACTORS**

for

FINANCIAL AUDITING SERVICES

SOLICITATION NUMBER: DCSC-15-FS-0002

**SOLICITATION IS RESTRICTED TO GENERAL FEDERAL
SCHEDULE 520 - (GSA) FINANCIAL AND BUSINESS SOLUTIONS
(FABS) CONTRACTORS ONLY**

DATE ISSUED: Tuesday, October 14, 2014

**CLOSING DATE & TIME: Thursday, November 6, 2014, 2:00 pm,
EST**

**REQUEST FOR PROPOSAL FOR A FINANCIAL AUDIT OF
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TASK ORDER REQUEST FOR FINANCIAL AUDITING SERVICES

The District of Columbia Courts (Court) are seeking proposals **Federal Government General Services Administration (GSA) Federal Supply Schedule firms under the Financial and Business Solutions (FABS) Schedule 520**. The District of Columbia Courts, Office of Budget and Finance (OBF), has an immediate need for the services of a Contractor to perform an independent financial audit of the DC Courts, in accordance with Generally Accepted Government Auditing Standards and other appropriate auditing standards, as administered by the D.C. Courts for Fiscal Year 2015.

The Courts contemplates a single award to one (1) Contractor for a one (1) year base period and four (4), one (1) year option periods, not to exceed five (5) years.

1. BACKGROUND:

1.1 Title 11-1723 (a)(3) of the District of Columbia Code:

(A) The DC Code states "The Fiscal Officer shall be responsible for the approval of vouchers and shall arrange for an annual independent audit of the accounts of the courts." The District of Columbia (DC) Courts have prepared 'Comprehensive Annual Financial Reports (CAFRs) in previous fiscal years in accordance with city/state guidelines pronounced by the Governmental Accounting Standards Board. However, the DC Courts, through approval by the Joint Committee on Judicial Administration, which is a policy-making body for the DC Courts, comprised of the DC Court of Appeals, DC Superior Court and the DC Court systems, have decided to report its financial activities under guidelines for Federal agencies delineated in Office of Management and Budget Circulars, such as A-136, Financial Reporting Requirements. This will culminate in the issuance of an Annual Financial Statements Report.

(B) The Performance Annual Report (PAR) shall consist of:

Management's discussion and analysis (part of required supplemental information).

Basic financial statements and related notes which shall include:

1. Balance Sheet
2. Statement of Net Cost
3. Statement of Changes in Net Position
4. Statement of Budgetary Resources

Required supplementary stewardship information, as appropriate.

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Required supplementary information.

Single Audit section, if appropriate.

- (C) The District of Columbia Courts (DC Courts) were formed under the laws of the District of Columbia Code and operate under the Joint Committee on Judicial Administration, which is the policy-making body for the DC Courts. The DC Courts are comprised of the Court of Appeals, the Superior Court, and the Court System. The mission of the DC Courts is to protect rights and liberties, uphold and interpret the law, and resolve disputes peacefully, fairly, and effectively in the nation's capital. Effective October 1, 1997, the "National Capital Revitalization and Self-Government Improvement Act of 1997" (Revitalization Act) effected major changes in the funding process for the DC Courts. Under the Revitalization Act, the Federal Government assumed responsibility for funding the DC Courts directly. However, the DC Courts are the judicial branch of the District of Columbia government. Consequently, the DC Courts for financial statements purposes have been complying with pronouncements of the Governmental Accounting Standards Board (GASB), which promulgates accounting standards for state and local governments through the period ending 2008. The DC Courts do not have any component units as defined by GASB Statement No. 14, the Financial Reporting Entity, because the DC Courts are fully funded by direct federal appropriations, and the DC Council and Mayor have no authority over the appointment of members of the Joint Committee.
- (D) The Single Audit Act Amendment of 1996 (The Act), Public Law (P.L. 104-156), dated June 14, 1996, and OMB Circular A-133, as revised, requires that any state or local government that receives more than \$500,000 in federal financial assistance must have an annual independent audit "performed in accordance with applicable Federal laws, rules and regulations. Failure to comply with provisions of The Act could result in severe penalties, including requests for repayment to the Federal Government and loss of funding. .
- (E) In the fiscal year beginning in 2009, the DC Courts elected to follow and comply with Federal Accounting Standards as promulgated by the Federal Accounting Standards Advisory Board (FASAB) for those transactions deemed material for DC Court financial reporting. FASAB provides a framework for assessing the existing financial reporting systems of agencies that operate as or in a similar manner as the federal government and its respective executive agencies. In addition, FASAB considers how accounting standards might facilitate and enhance the accountability as well as the decision making in a cost-effective manner. The four objectives of federal financial reporting include the following:

Budgetary Integrity

Federal financial reporting should assist in fulfilling the government's duty to be publicly accountable for monies raised through taxes and other means and for their expenditure in accordance with the appropriations laws that establish the government's budget for a particular fiscal year and

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related laws and regulations. Federal financial reporting should provide information that helps the reader to determine:

- how budgetary resources have been obtained and used and whether their acquisition and use were in accordance with the legal authorization,
- the status of budgetary resources, and
- how information on the use of budgetary resources relates to information on the costs of programs operations and whether information on the status of budgetary resources is consistent with other accounting information on assets and liabilities.

Operating Performance

Federal financial reporting should assist report users in evaluating the service efforts, costs, and accomplishments of the reporting entity;¹ the manner in which these efforts and accomplishments have been financed; and the management of the entity's assets and liabilities. Federal financial reporting should provide information that helps the reader to determine:

- the costs of providing specific programs and activities and the composition of, and changes in, these costs;
- the efforts and accomplishments associated with federal programs and the changes over time and in relation to costs; and the efficiency and effectiveness of the government's management of its assets and liabilities.

Stewardship

Federal financial reporting should assist report users in assessing the impact on the country of the government's operations and investments for the period and how, as a result, the government's and the nation's financial conditions have changed and may change in the future. Federal financial reporting should provide information that helps the reader to determine whether

- the government's financial position improved or deteriorated over the period,
- future budgetary resources will likely be sufficient to sustain public services and to meet obligations as they come due, and
- government operations have contributed to the nation's current and future well-being.

Systems and Controls

Federal financial reporting should assist report users in understanding whether financial management systems and internal accounting and administrative controls are adequate to ensure that

- transactions are executed in accordance with budgetary and financial laws and other requirements, consistent with the purpose

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- authorized, and are recorded in accordance with federal accounting standards;
 - assets are properly safeguarded to deter fraud, waste, and abuse; and
 - performance measurement information is adequately supported.
- (F) OMB Bulletin No. 14-02, Audit Requirements for Federal Financial Statements establishes minimum requirements for audits of Federal financial statements. The Bulletin is issued under the authority of the Budget and Accounting Act of 1921 (42 Stat. 20), as amended, and the Budget and Accounting Procedures Act of 1950 (64 Stat. 832), as amended. It implements the audit provisions of the Chief Financial Officers (CFO) Act of 1990 (Pub. L. No. 101-576), as amended, The Government Management Reform Act (GMRA) of 1994 (Pub. L. No. 103-356), and the Federal Financial Management Improvement Act of 1996 (Pub. L. No. 104-208, title VIII). The provisions of this Bulletin apply to audits of financial statements of executive departments, agencies, and Government corporations (Appendices A, C, and D) and certain components of these agencies (Appendix B). Effective for fiscal year 2013 the provisions of this Bulletin supersede the provisions in OMB Bulletin 07-04, *Audit Requirements for Federal Financial Statements*, and OMB Technical Bulletin 08-24, *Technical Amendments to OMB Bulletin 07-04, Audit Requirements for Federal Financial Statements*.
- (G) In FY 2013, the DC Courts voluntarily undertook the mission to invoke and comply with *OMB Circular A-123 Management's Responsibility for Internal Control*. Specifically, the DC Courts elected its management to fulfill the fundamental responsibility to develop and maintain effective internal control. The proper stewardship of agency resources is an essential responsibility of agency managers and staff. Agency employees must ensure that agency programs and resources operate and are used efficiently and effectively to achieve desired objectives. Programs must operate and resources must be used consistent with agency missions, in compliance with laws and regulations, and with minimal potential for waste, fraud, and mismanagement. Furthermore, management is responsible for developing and maintaining effective internal control. Effective internal control provides assurance that significant weaknesses in the design or operation of internal control, that could adversely affect the agency's ability to meet its objectives, would be prevented or detected in a timely manner.
- (H) *OMB Circular A-123* requires each executive agency to provide a statement of assurance regarding the effectiveness of internal control in the management assurance statements included in the agency's Annual Performance and Accountability Report (PAR). The management assurance statements are included in the *Federal Managers Financial Integrity Act of 1982 (FMFIA)* report section of the PAR. The FMFIA report section should include the annual assurance statements, summary of material weaknesses and non-conformances, and summary of corrective action plans. In order to meet these reporting requirements, *OMB Circular A-123* requires agencies and individual federal managers to take systematic and proactive measures to:

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- Develop and implement appropriate, cost-effective internal control for results-oriented management;
- Assess the adequacy of internal control in federal programs and operations by continuously monitoring and improving the effectiveness of internal control;
- Separately assess and document internal control over financial reporting consistent with the process defined in Appendix A;
- Identify needed improvements; and
- Take corresponding corrective action.

Lastly, *OMB Circular A-123 Appendix A: Internal Control over Financial Reporting* requires an assurance statement on the effectiveness of internal control over financial reporting. This assurance statement is a separate assurance statement from that required under FMFIA on the overall internal control of the agency. Additionally, *Appendix A* requires agencies to specifically document the process and methodology for applying the standards set forth therein when assessing internal control over financial reporting. Fiscal Year 2014 will be the first (transitional) period for implementing reporting under the Federal guidelines and *OMB Circular A-123*.

- (I) The Courts' financial statements for each FY beginning with FY 2009 are prepared in accordance with Generally Accepted Accounting Principles and other statements promulgated by the Federal Accounting Standards Advisory Board and as appropriate, by the Governmental Accounting Standards Board (particularly GASBs 34, 37, and 38), and Financial Accounting Standards Board.

1.2 D.C. Code § 4-515 (2001) Crime Victims Compensations Fund (Formerly § 3-435):

- (A) A Fund is established to be administered by the Court and to be known as the Crime Victims Compensation Fund ("Fund") for the purpose of accounting for the financial operations of this chapter. The Fund shall be maintained as a separate fund in the Treasury of the United States. All amounts deposited to the credit of the Fund are appropriated without fiscal year limitation to make payments as authorized under subsection (e) of this section.
- (B) Monies in the Fund shall consist of all grant funds awarded by the Department of Justice, and, any appropriations to the Fund under § 4-518, assessments imposed under § 4-516, monies recovered through subrogation or repayment under §§ 4-509, 4-510 and 4-513, costs assessed under the Victims of Violent Crime Compensation Act of 1981 that are collected after April 9, 1997, any other fines, fees, penalties, or assessments that the Court determines necessary to carry out the purposes

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of the Fund, and monies received from the federal government or other public or private sources for the purpose of the Fund.

- (C) Any unobligated balance existing in the Fund as of the end of each fiscal year (beginning with fiscal year 2000) may be used only in accordance with the plan developed by the District of Columbia which is submitted to the Committees on Appropriations of the Senate and House of Representatives, the Committee on Government Reform of the House of Representatives, and the Committee on Governmental Affairs of the Senate, except that under such plan:
- (1) Fifty (50) percent of such balance shall be used for direct compensation payments to crime victims through the Fund under this section and in accordance with this chapter (D.C. Courts' program); and
 - (2) Fifty (50) percent of such balance shall be transferred from the Fund to the Mayor and shall be used without fiscal year limitation for outreach activities designed to increase the number of crime victims who apply for such direct compensation payments.
 - (3) The remaining funds shall be made available for victims assistance in accordance with the plan developed by the Executive Office of the Mayor and submitted to the Council, excluding days of Council recess. If the Council does not disapprove the proposed plan in whole or in part, by resolution within this 30-day period, the plan shall be deemed approved.
 - (4) The Mayor shall submit an annual report to the Council which details the amounts of funds transferred pursuant to this subsection, and all expenditures or disbursement of funds, no later than 90 days after the end of each fiscal year.
 - (5) For the purposes of this section "unobligated balance" does not include the amount of claims pending at the end of a fiscal year which have been filed but for which awards have not been made, based on an estimated average cost of each award.
- (E) All compensation payments and attorneys' fees awarded under this chapter shall be paid from, and subject to, the availability of monies in the Fund. Not more than five (5) percent of the total amount of monies in the Fund may be used to pay administrative costs necessary to carry out this chapter.

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- (F) The Superior Court of the District of Columbia shall arrange for an annual independent audit of the Fund. The audit shall include:
- (1) The number of claims satisfied in each fiscal year and the respective amounts awarded;
 - (2) The number and status of all pending claims;
 - (3) The unexpended balance in the Fund to be transferred to the victims assistance grants agency pursuant to subsection (d) of this section; and
 - (4) The number of personnel positions and the amount of personnel funding and other administrative costs of the Crime Victims Compensation Program.

1.3 Other Background Information:

- (A) The DC Courts financial condition has been subject to a financial audit over the past ten (10) years by an outside independent public accounting firm. Based on those audits the following metrics were noted:

| | FY09 | FY10 | FY11 | FY12 | FY13 |
|--|---------------|---------------|---------------|---------------|---------------|
| Audit Opinion | Unqualified | Unqualified | Unqualified | Unqualified | Unqualified |
| Total Assets | \$476,016,863 | \$511,253,452 | \$513,075,394 | \$514,437,682 | \$491,414,709 |
| Total Net Cost of Operations | \$259,237,230 | \$274,922,877 | \$304,887,081 | \$299,053,367 | \$308,186,592 |
| Total Budgetary Resources / Outlays | \$286,764,376 | \$281,405,509 | \$310,437,661 | \$311,261,507 | \$303,765,671 |
| Total Net Position | \$425,432,279 | \$470,672,516 | \$470,331,825 | \$458,260,573 | \$435,921,964 |

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- (B) The Crime Victims Fund has been audited over the past (ten) 10 fiscal years (FY 2004-FY 2013) by an outside independent firm. Based on those audits the following metrics were noted:

| | FY09 | FY10 | FY11 | FY12 | FY13 |
|---|--------------|-------------|-------------|-------------|-------------|
| Audit Opinion | Unqualified | Unqualified | Unqualified | Unqualified | Unqualified |
| Number of eligible claims satisfied | 3,226 | 3,346 | 2,986 | 3,055 | 3,766 |
| Total Amount Awarded | \$10,020,859 | \$9,199,954 | \$9,026,837 | \$8,770,530 | \$8,714,253 |
| Number of Claims pending at fiscal year end | 1,085 | 925 | 978 | 1,320 | 1,151 |
| Unobligated balance as of fiscal year end | \$1,748,376 | \$2,462,579 | \$1,582,279 | \$1,483,100 | \$2,022,514 |
| Unobligated balance due to the DC Government | \$874,188 | \$1,231,290 | \$791,140 | \$741,550 | \$1,011,257 |
| Personnel Costs | \$923,331 | \$967,690 | \$992,969 | \$1,004,134 | \$1,008,956 |
| Administrative Costs | \$174,966 | \$392,030 | \$335,074 | \$232,075 | \$229,662 |
| Reserve for Administrative Costs | \$73829 | \$43,703 | \$61,565 | \$39,557 | \$37,077 |

- (1) The Unobligated Balance due to the DC Government represents 50 percent of the unobligated balance to be transferred to the District of Columbia government as authorized by the FY 2002 amendment to the Victims of Violent Crimes Compensation Act.
- (2) The Reserve for Administrative costs represents a reserve of 5 percent of the unobligated balance at the beginning a given fiscal year as authorized by the FY 2002 amendment to the Compensation Act for administrative costs of the program.
- (3) The Crime Victims Fund does not own any other assets other than cash.
- (4) In FY13, there were ten (10) authorized, full-time positions for the Crime Victims Compensation Fund.

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2. SCOPE OF SERVICES:

- 2.1 The Contractor shall perform audit evaluation services on the Courts' financial statements for the period ending September 30, of the Fiscal Year (FY). The evaluation will result in an independent audit opinion of the DC Courts' financial statements taken as a whole and its financial reporting internal controls that meet the objectives of the *Federal Managers' Financial Integrity Act* (FMFIA). This will require assessments and compilation of supporting schedules for the:
- A. DC Courts' appropriated and non-appropriated funds that flow through to the Court of Appeals, Superior Court, and Court Systems
 - B. Capital Project and fixed asset financial transactions performed by the Courts;
 - C. Defender Services Program transactions;
 - D. Grant account activities (both personal services and non-personal services) conducted through the DC Courts financial and procurement computer based systems and any of the Courts' subsidiary financial systems.
 - E. Transactions conducted through the Courts' accounts which includes the collection of and accounting for fines, fees, forfeitures, and child support and escrow transactions.
 - F. The Crime Victims Fund Program, should be audited to evaluate and opine on the Courts' compliance with all Federal accounting requirements including, but not limited to OMB circular. The Contractor shall perform an independent audit of the Fund in accordance with Generally Accepted Government Auditing Standards and other appropriate auditing standards, as administered by the D.C. Courts for Fiscal Year 2015. The Courts fiscal year begins on October 1 and ends on September 30 of the following year. At a minimum, the audit shall include a review of:
 - (1) The number of claims satisfied in the fiscal year and the respective amounts awarded;
 - (2) The number and status of all pending claims;
 - (3) The unobligated balance in the Fund and the amount to be transferred to the DC government pursuant to D.C. Code § 4-515 (2001) Crime Victims Compensation Fund (Formerly §3-435); and

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- (4) The number of personnel positions and amount of personnel funding and other administrative costs of the Crime Victims Compensation Program; and
- (5) The audit will conclude with the issuance of reports (see deliverables section) containing the Contractor's conclusions and recommendations on the aforementioned areas.

2.2. Responsibilities of the Courts and Contractor under the Financial Statements preparation engagement for fiscal year 2015 and beyond:

- (A) The Compilation Engagement -After selection of the Contractor(s), the compilation engagement shall commence within five (5) work days after the Contractor's receipt of contract award.
- (B) Entrance Conference -An Entrance Conference will be scheduled with the Contractor and the Courts prior to the start of the compilation to discuss the engagement, deliverables, and the Courts and Contractor's responsibilities.
- (C) Progress Meetings and Reports-The Contractor shall attend all meetings called by the Courts at the date(s), time(s) and place(s) in Washington, DC designated by the Courts and provide monthly status reports in order to discuss progress, issues and other relevant information or concerns that the Courts may have.
- (D) Report (Draft) -The Contractor shall send copies of the draft Annual Financial Statements Report to the Courts for review and distribution. Upon receipt of the audit of the draft report, the Courts shall promptly respond, in writing, to any findings, questioned costs, or other audit concerns. The responses may include exceptions to the findings or questioned costs, as set forth in detail. The Courts anticipates issuing Task Orders to the Compilation Contractor for assistance in preparing additional documentation after receipt of the audit.
- (E) Exit Conferences -The Contractor shall schedule an Exit Conference with the Courts before the final report is issued to discuss/obtain the Courts' views on the Contractor's findings, recommendations, and conclusions.
- (F) Correspondence -All correspondence that pertains directly or indirectly to the contract or the compilation engagement shall be sent directly to the Courts for review, action and/or distribution, as appropriate. Unless required by existing laws, rules or regulations, no information shall be disseminated outside of the Courts without the Courts' approval.
- (G) Finding Close-out -Any findings related to the FY 2014 financial statements are not considered closed unless and until all outstanding issues are resolved by the auditor (selected to audit and review the Courts' FY 2014 financial statements) and/or the

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Federal Government makes a written determination that it has accepted the Courts' responses, additional documentation, or repayment, whichever is applicable.

- (H) Invoicing / Billing – ***Billing is to be submitted at the completion of each deliverable and tasks within a respective deliverable and coded as such with upon presentation for payment for services rendered.*** Billing should commence subsequent to award and acceptance of the contract by both parties.

2.3 Audit Period:

The audit performed for the base year shall cover Fiscal Year 2015 (October 1, 2014 through September 30, 2015). The option year audits will cover the following time periods:

- (A) Option Years
Fiscal Year 2016 (October 1, 2015 through September 30, 2016)
Fiscal Year 2017 (October 1, 2016 through September 30, 2017)
Fiscal Year 2018 (October 1, 2017 through September 30, 2018)
Fiscal Year 2019 (October 1, 2018 through September 30, 2019)

2.4 The Audit Engagement:

After selection of the audit firm (Contractor), the audit engagement/field work shall commence on a date agreed upon by the Contractor and the Courts.

2.5 Entrance Conference:

An Entrance Conference will be scheduled with the Contractor and the Courts prior to the start of the field work to discuss the engagement, deliverables, Courts' responsibilities and Contractor's responsibilities.

2.6 Meetings:

The Contractor shall attend all meetings called by the Courts at the date(s), time(s) and place(s) designated by the Courts in order to discuss progress reports, issues, and other relevant information or concerns that the Courts may have.

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- 2.7 Tasks / Deliverables:
All Deliverables shall be in a form and manner acceptable to the Courts. The Contractor shall provide to the Contracting Officer's Technical Representative (COTR) the deliverables specified below within the designated time frames determined by the DC Courts.
- 2.8 Audit Reports (Draft and Final) –The Contractor shall submit copies of the draft report to the Contracting Officer's Technical Representative (COTR) for review and comments, 30 days from the completion of fieldwork. Upon receipt of the draft report, the Courts shall promptly respond to the findings, questioned costs, or other audit concerns. The responses may include exceptions to the auditor's findings or questioned cost items, set forth in detail. All draft and final reports will be sent directly to the Courts for review and distribution, as appropriate. The Courts management will review the findings, and provide their responses to the Contractor. The audit report should include an audit report on the financial data, any supplementary notes, an audit report on internal controls, and an audit report on compliance with laws and regulations.
- 2.9 Correspondence – All correspondence that pertains directly or indirectly to the contract or the engagement shall be sent directly to the COTR for review, action and/or distribution, as appropriate. Unless required by existing laws, rules or regulations, no information shall be disseminated outside of the Courts without the Courts' approval.
- 2.10 Exit Conferences - The Contractor shall schedule an Exit Conference with the COTR before the final report(s) is/are issued in order to obtain the Courts' view of the Contractor's findings, final recommendations, and conclusions. An Exit Conference with D.C. Court officials to present the final report will also be required.

| Contract Line Item No. (CLIN) | Item Description (Base Year) | | Total Prices |
|-------------------------------|---|--|--|
| 0001 | Task 1: Contractor will conduct a review and analysis of the DC Courts financial internal control procedures as documented by management and perform a materiality assessment | Deliverables: Contractor shall develop and deliver test plans that will test transactions based on materiality and reasonable assurance the financial transactions and statements are accurately stated. | Firm Fixed Price On-Site (at the Courts) \$ _____ |
| 0002 | Task 2a: Test and evaluate sample based transactions to render an opinion on | Deliverables: Issuance of Independent Auditor's Report on the DC Courts' Financial | Firm Fixed Price On-Site (at the Courts) |

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| Contract Line Item No. (CLIN) | Item Description (Base Year) | | Total Prices |
|--|--|---|--|
| | <p>the Fiscal Year (FY) 2014 Financial Statements that comply GAAP and with OMB Circular A-136 <i>Financial Reporting Requirements</i>, as revised, which will include the following, where applicable: <i>Balance Sheet</i> <i>Statement of Net Cost</i> <i>Statement of Changes in Net Position</i> <i>Statement of Budgetary Resources</i> <i>Related Note Disclosures</i></p> <p>Task 2b: Test and evaluate sample based transactions to render an opinion as to whether the DC Court's Crime Victim's Grant Program's Financial Statements for Fiscal Year (FY) 2014 comply with GAAP and other applicable federal accounting standards.</p> | <p>Statements and Notes that comply with OMB Bulletin No. 14-02, <i>Audit Requirements for Federal Financial Statements</i></p> <p>Issuance of Independent Auditor's Report on internal controls over financial reporting that comply with OMB Bulletin No. 14-02, <i>Audit Requirements for Federal Financial Statements</i></p> <p>Issuance of Independent Auditor's Report on the Crime Victim's Grant Program internal controls over financial reporting that comply with relevant accounting standards</p> | <p>\$ _____</p> |
| 0003 | <p>Task 3: A Management Representation Letter and other relevant reports, as necessary and appropriate, will be issued in draft form and then sent to the Courts for review and action, as needed. Subsequently, the Contractor will finalize and distribute the document</p> | <p>Deliverables: Issuance of a Management Representation Letter to DC Courts' Chief Financial Officer and Chief Internal Auditor</p> | <p>Firm Fixed Price On-Site (at the Courts) \$ _____</p> |
| 0004 | <p>Task 4: The Contractor shall perform an audit and review of the Courts' new financial accounting computer based system (<i>Interior Business Center</i>) being implemented for use in the Fiscal Year beginning October 1, 2014, and the <i>SAGE MIP Fund Accounting</i> software, internal controls, as well as all related business processes, for the system</p> | <p>Deliverables: Issuance of Independent Auditor's Report on the DC Courts' Financial Statements and Notes that comply with OMB Bulletin No. 14-02, <i>Audit Requirements for Federal Financial Statements</i></p> <p>Issuance of Independent Auditor's Report on internal controls over financial reporting that comply with OMB Bulletin No. 14-02, <i>Audit</i></p> | <p>Firm Fixed Price On-Site (at the Courts) \$ _____</p> |

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| Contract Line Item No. (CLIN) | Item Description (Base Year) | | Total Prices |
|---|--|---|---|
| | | <i>Requirements for Federal Financial Statements</i> | |
| 0005 | Task 5: The Contractor shall attend all meetings called by the Courts at the date(s), time(s) and place(s) designated by the Courts and provide monthly status reports in order to discuss progress, issues and other relevant information or concerns that the Courts may have. | Deliverables: Entrance Conference -An Entrance Conference will be scheduled with the Contractor and the Courts prior to the start of the fieldwork to discuss the engagement, deliverables, and the Courts' and Contractor's responsibilities. Periodic State Meetings conducted during the engagement Exit Conferences -The Contractor shall schedule an Exit Conference with the Courts before the final report is issued to discuss/obtain the Courts' views on the Contractor's findings, recommendations, and conclusions. | Firm Fixed Price On-Site (at the Courts) \$ _____ |
| 0006 | Task 6 Additional Services in preparation of the FY 2014 Financial Statements subject to Task Orders (TOs) | Deliverables: To be determined, if applicable and necessary during status meetings conducted throughout the engagement. | Firm Fixed Price On-Site (at the Courts) \$ _____ |
| TOTAL Ceiling Price for Contract Base Period -- January 1, 2015 through December 31, 2015 | | | \$ _____ |

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OPTION PERIOD 1 CONTRACT PRICE

| (CLIN) | Item Description (Option Period 1) | | Total Prices |
|---------------|---|---|---|
| 0001 | Task 1: Contractor will conduct a review and analysis of the DC Courts financial internal control procedures as documented by management and perform a materiality assessment | Deliverables: Contractor shall develop and deliver test plans that will test transactions based on materiality and reasonable assurance the financial transactions and statements are accurately stated. | Firm Fixed Price On-Site (at the Courts) \$ _____ |
| 0002 | Task 2a: Test and evaluate sample based transactions to render an opinion on the Fiscal Year (FY) 2014 Financial Statements that comply GAAP and with OMB Circular A-136 <i>Financial Reporting Requirements</i> , as revised, which will include the following, where applicable: <i>Balance Sheet</i> <i>Statement of Net Cost</i> <i>Statement of Changes in Net Position</i> <i>Statement of Budgetary Resources</i> <i>Related Note Disclosures</i> Task 2b: Test and evaluate sample based transactions to render an opinion as to whether the DC Court's Crime Victim's Grant Program's Financial Statements for Fiscal Year (FY) 2014 comply with GAAP and other applicable federal accounting standards. | Deliverables: Issuance of Independent Auditor's Report on the DC Courts' Financial Statements and Notes that comply with OMB Bulletin No. 14-02, <i>Audit Requirements for Federal Financial Statements</i> Issuance of Independent Auditor's Report on internal controls over financial reporting that comply with OMB Bulletin No. 14-02, <i>Audit Requirements for Federal Financial Statements</i> Issuance of Independent Auditor's Report on the Crime Victim's Grant Program internal controls over financial reporting that comply with relevant accounting standards | Firm Fixed Price On-Site (at the Courts) \$ _____ |
| 0003 | Task 3: A Management Representation Letter and other relevant reports, as necessary and appropriate, will be issued in draft form and then sent to the Courts for review and action, as needed. Subsequently, the Contractor will finalize and distribute the document | Deliverables: Issuance of a Management Representation Letter to DC Courts' Chief Financial Officer and Chief Internal Auditor | Firm Fixed Price On-Site (at the Courts) \$ _____ |
| 0004 | Task 4: The Contractor shall perform an audit and review of the Courts' new | Deliverables: Issuance of Independent Auditor's Report on the DC Courts' Financial | Firm Fixed Price On-Site (at the Courts) |

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| (CLIN) | Item Description (Option Period 1) | | Total Prices |
|---|---|---|--|
| | financial accounting computer based system (<i>Interior Business Center</i>) being implemented for use in the Fiscal Year beginning October I, 2014, and the <i>SAGE MIP Fund Accounting</i> software, internal controls, as well as all related business processes, for the system | Statements and Notes that comply with OMB Bulletin No. 14-02, <i>Audit Requirements for Federal Financial Statements</i> Issuance of Independent Auditor's Report on internal controls over financial reporting that comply with OMB Bulletin No. 14-02, <i>Audit Requirements for Federal Financial Statements</i> | \$ _____ |
| 0005 | Task 5: The Contractor shall attend all meetings called by the Courts at the date(s), time(s) and place(s) designated by the Courts and provide monthly status reports in order to discuss progress, issues and other relevant information or concerns that the Courts may have. . | Deliverables: Entrance Conference -An Entrance Conference will be scheduled with the Contractor and the Courts prior to the start of the fieldwork to discuss the engagement, deliverables, and the Courts' and Contractor's responsibilities. Periodic State Meetings conducted during the engagement Exit Conferences -The Contractor shall schedule an Exit Conference with the Courts before the final report is issued to discuss/obtain the Courts' views on the Contractor's findings, recommendations, and conclusions. | Firm Fixed Price On-Site (at the Courts) \$ _____ |
| 0006 | Task 6 Additional Services in preparation of the FY 2014 Financial Statements subject to Task Orders (TOs) | Deliverables: To be determined, if applicable and necessary during status meetings conducted throughout the engagement. | Firm Fixed Price On-Site (at the Courts) \$ _____ |
| TOTAL Ceiling Price for Contract Option Period One -- January 1, 2016 through December 31, 2017 | | | \$ _____ |

**REQUEST FOR PROPOSAL FOR A FINANCIAL AUDIT OF
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OPTION PERIOD 2 CONTRACT PRICE

| (CLIN) | Item Description (Option Period 2) | | Total Prices |
|---------------|---|---|---|
| 0001 | Task 1: Contractor will conduct a review and analysis of the DC Courts financial internal control procedures as documented by management and perform a materiality assessment | Deliverables: Contractor shall develop and deliver test plans that will test transactions based on materiality and reasonable assurance the financial transactions and statements are accurately stated. | Firm Fixed Price On-Site (at the Courts) \$ _____ |
| 0002 | Task 2a: Test and evaluate sample based transactions to render an opinion on the Fiscal Year (FY) 2014 Financial Statements that comply GAAP and with OMB Circular A-136 <i>Financial Reporting Requirements</i> , as revised, which will include the following, where applicable: <i>Balance Sheet</i> <i>Statement of Net Cost</i> <i>Statement of Changes in Net Position</i> <i>Statement of Budgetary Resources</i> <i>Related Note Disclosures</i> Task 2b: Test and evaluate sample based transactions to render an opinion as to whether the DC Court's Crime Victim's Grant Program's Financial Statements for Fiscal Year (FY) 2014 comply with GAAP and other applicable federal accounting standards. | Deliverables: Issuance of Independent Auditor's Report on the DC Courts' Financial Statements and Notes that comply with OMB Bulletin No. 14-02, <i>Audit Requirements for Federal Financial Statements</i> Issuance of Independent Auditor's Report on internal controls over financial reporting that comply with OMB Bulletin No. 14-02, <i>Audit Requirements for Federal Financial Statements</i> Issuance of Independent Auditor's Report on the Crime Victim's Grant Program internal controls over financial reporting that comply with relevant accounting standards | Firm Fixed Price On-Site (at the Courts) \$ _____ |
| 0003 | Task 3: A Management Representation Letter and other relevant reports, as necessary and appropriate, will be issued in draft form and then sent to the Courts for review and action, as needed. Subsequently, the Contractor will finalize and distribute the document | Deliverables: Issuance of a Management Representation Letter to DC Courts' Chief Financial Officer and Chief Internal Auditor | Firm Fixed Price On-Site (at the Courts) \$ _____ |

**REQUEST FOR PROPOSAL FOR A FINANCIAL AUDIT OF
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| (CLIN) | Item Description (Option Period 2) | | Total Prices |
|---|---|---|---|
| 0004 | Task 4: The Contractor shall perform an audit and review of the Courts' new financial accounting computer based system (<i>Interior Business Center</i>) being implemented for use in the Fiscal Year beginning October 1, 2014, and the <i>SAGE MIP Fund Accounting</i> software, internal controls, as well as all related business processes, for the system | Deliverables: Issuance of Independent Auditor's Report on the DC Courts' Financial Statements and Notes that comply with OMB Bulletin No. 14-02, <i>Audit Requirements for Federal Financial Statements</i> Issuance of Independent Auditor's Report on internal controls over financial reporting that comply with OMB Bulletin No. 14-02, <i>Audit Requirements for Federal Financial Statements</i> | Firm Fixed Price On-Site (at the Courts) \$ _____ |
| 0005 | Task 5: The Contractor shall attend all meetings called by the Courts at the date(s), time(s) and place(s) designated by the Courts and provide monthly status reports in order to discuss progress, issues and other relevant information or concerns that the Courts may have. | Deliverables: Entrance Conference -An Entrance Conference will be scheduled with the Contractor and the Courts prior to the start of the fieldwork to discuss the engagement, deliverables, and the Courts' and Contractor's responsibilities. Periodic State Meetings conducted during the engagement Exit Conferences -The Contractor shall schedule an Exit Conference with the Courts before the final report is issued to discuss/obtain the Courts' views on the Contractor's findings, recommendations, and conclusions. | Firm Fixed Price On-Site (at the Courts) \$ _____ |
| 0006 | Task 6 Additional Services in preparation of the FY 2014 Financial Statements subject to Task Orders (TOs) | Deliverables: To be determined, if applicable and necessary during status meetings conducted throughout the engagement. | Firm Fixed Price On-Site (at the Courts) \$ _____ |
| TOTAL Ceiling Price for Contract Option Period Two -- January 1, 2017 through December 31, 2017 | | | \$ _____ |

**REQUEST FOR PROPOSAL FOR A FINANCIAL AUDIT OF
THE DISTRICT OF COLUMBIA COURTS'**

OPTION PERIOD 3 -- CONTRACT PRICE

| (CLIN) | Item Description (Option Period 3) | | Total Prices |
|---------------|---|---|---|
| 0001 | Task 1: Contractor will conduct a review and analysis of the DC Courts financial internal control procedures as documented by management and perform a materiality assessment | Deliverables: Contractor shall develop and deliver test plans that will test transactions based on materiality and reasonable assurance the financial transactions and statements are accurately stated. | Firm Fixed Price On-Site (at the Courts) \$ _____ |
| 0002 | Task 2a: Test and evaluate sample based transactions to render an opinion on the Fiscal Year (FY) 2014 Financial Statements that comply GAAP and with OMB Circular A-136 <i>Financial Reporting Requirements</i> , as revised, which will include the following, where applicable: <i>Balance Sheet</i> <i>Statement of Net Cost</i> <i>Statement of Changes in Net Position</i> <i>Statement of Budgetary Resources</i> <i>Related Note Disclosures</i> Task 2b: Test and evaluate sample based transactions to render an opinion as to whether the DC Court's Crime Victim's Grant Program's Financial Statements for Fiscal Year (FY) 2014 comply with GAAP and other applicable federal accounting standards. | Deliverables: Issuance of Independent Auditor's Report on the DC Courts' Financial Statements and Notes that comply with OMB Bulletin No. 14-02, <i>Audit Requirements for Federal Financial Statements</i> Issuance of Independent Auditor's Report on internal controls over financial reporting that comply with OMB Bulletin No. 14-02, <i>Audit Requirements for Federal Financial Statements</i> Issuance of Independent Auditor's Report on the Crime Victim's Grant Program internal controls over financial reporting that comply with relevant accounting standards | Firm Fixed Price On-Site (at the Courts) \$ _____ |
| 0003 | Task 3: A Management Representation Letter and other relevant reports, as necessary and appropriate, will be issued in draft form and then sent to the Courts for review and action, as needed. Subsequently, the Contractor will finalize and distribute the document | Deliverables: Issuance of a Management Representation Letter to DC Courts' Chief Financial Officer and Chief Internal Auditor | Firm Fixed Price On-Site (at the Courts) \$ _____ |

**REQUEST FOR PROPOSAL FOR A FINANCIAL AUDIT OF
THE DISTRICT OF COLUMBIA COURTS'**

| (CLIN) | Item Description (Option Period 3) | | Total Prices |
|---|---|---|---|
| 0004 | Task 4: The Contractor shall perform an audit and review of the Courts' new financial accounting computer based system (<i>Interior Business Center</i>) being implemented for use in the Fiscal Year beginning October 1, 2014, and the <i>SAGE MIP Fund Accounting</i> software, internal controls, as well as all related business processes, for the system | Deliverables: Issuance of Independent Auditor's Report on the DC Courts' Financial Statements and Notes that comply with OMB Bulletin No. 14-02, <i>Audit Requirements for Federal Financial Statements</i> Issuance of Independent Auditor's Report on internal controls over financial reporting that comply with OMB Bulletin No. 14-02, <i>Audit Requirements for Federal Financial Statements</i> | Firm Fixed Price On-Site (at the Courts) \$ _____ |
| 0005 | Task 5: The Contractor shall attend all meetings called by the Courts at the date(s), time(s) and place(s) designated by the Courts and provide monthly status reports in order to discuss progress, issues and other relevant information or concerns that the Courts may have. | Deliverables: Entrance Conference -An Entrance Conference will be scheduled with the Contractor and the Courts prior to the start of the fieldwork to discuss the engagement, deliverables, and the Courts' and Contractor's responsibilities. Periodic State Meetings conducted during the engagement Exit Conferences -The Contractor shall schedule an Exit Conference with the Courts before the final report is issued to discuss/obtain the Courts' views on the Contractor's findings, recommendations, and conclusions. | Firm Fixed Price On-Site (at the Courts) \$ _____ |
| 0006 | Task 6 Additional Services in preparation of the FY 2014 Financial Statements subject to Task Orders (TOs) | Deliverables: To be determined, if applicable and necessary during status meetings conducted throughout the engagement. | Firm Fixed Price On-Site (at the Courts) \$ _____ |
| TOTAL Ceiling Price for Contract Option Period Three -- January 1, 2018 through December 31, 2018 | | | \$ _____ |

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THE DISTRICT OF COLUMBIA COURTS'**

OPTION PERIOD 4 -- CONTRACT PRICE

| (CLIN) | Item Description (Option Period 4) | | Total Prices |
|--------|---|---|---|
| 0001 | Task 1: Contractor will conduct a review and analysis of the DC Courts financial internal control procedures as documented by management and perform a materiality assessment | Deliverables: Contractor shall develop and deliver test plans that will test transactions based on materiality and reasonable assurance the financial transactions and statements are accurately stated. | Firm Fixed Price On-Site (at the Courts) \$ _____ |
| 0002 | Task 2a: Test and evaluate sample based transactions to render an opinion on the Fiscal Year (FY) 2014 Financial Statements that comply GAAP and with OMB Circular A-136 <i>Financial Reporting Requirements</i> , as revised, which will include the following, where applicable: <i>Balance Sheet</i> <i>Statement of Net Cost</i> <i>Statement of Changes in Net Position</i> <i>Statement of Budgetary Resources</i> <i>Related Note Disclosures</i> Task 2b: Test and evaluate sample based transactions to render an opinion as to whether the DC Court's Crime Victim's Grant Program's Financial Statements for Fiscal Year (FY) 2014 comply with GAAP and other applicable federal accounting standards. | Deliverables: Issuance of Independent Auditor's Report on the DC Courts' Financial Statements and Notes that comply with OMB Bulletin No. 14-02, <i>Audit Requirements for Federal Financial Statements</i> Issuance of Independent Auditor's Report on internal controls over financial reporting that comply with OMB Bulletin No. 14-02, <i>Audit Requirements for Federal Financial Statements</i> Issuance of Independent Auditor's Report on the Crime Victim's Grant Program internal controls over financial reporting that comply with relevant accounting standards | Firm Fixed Price On-Site (at the Courts) \$ _____ |
| 0003 | Task 3: A Management Representation Letter and other relevant reports, as necessary and appropriate, will be issued in draft form and then sent to the Courts for review and action, as needed. Subsequently, the Contractor will finalize and distribute the document | Deliverables: Issuance of a Management Representation Letter to DC Courts' Chief Financial Officer and Chief Internal Auditor | Firm Fixed Price On-Site (at the Courts) \$ _____ |

**REQUEST FOR PROPOSAL FOR A FINANCIAL AUDIT OF
THE DISTRICT OF COLUMBIA COURTS'**

| (CLIN) | Item Description (Option Period 4) | | Total Prices |
|--|---|---|---|
| 0004 | Task 4: The Contractor shall perform an audit and review of the Courts' new financial accounting computer based system (<i>Interior Business Center</i>) being implemented for use in the Fiscal Year beginning October 1, 2014, and the <i>SAGE MIP Fund Accounting</i> software, internal controls, as well as all related business processes, for the system | Deliverables: Issuance of Independent Auditor's Report on the DC Courts' Financial Statements and Notes that comply with OMB Bulletin No. 14-02, <i>Audit Requirements for Federal Financial Statements</i> Issuance of Independent Auditor's Report on internal controls over financial reporting that comply with OMB Bulletin No. 14-02, <i>Audit Requirements for Federal Financial Statements</i> | Firm Fixed Price On-Site (at the Courts) \$ _____ |
| 0005 | Task 5: The Contractor shall attend all meetings called by the Courts at the date(s), time(s) and place(s) designated by the Courts and provide monthly status reports in order to discuss progress, issues and other relevant information or concerns that the Courts may have. | Deliverables: Entrance Conference -An Entrance Conference will be scheduled with the Contractor and the Courts prior to the start of the fieldwork to discuss the engagement, deliverables, and the Courts' and Contractor's responsibilities. Periodic State Meetings conducted during the engagement Exit Conferences -The Contractor shall schedule an Exit Conference with the Courts before the final report is issued to discuss/obtain the Courts' views on the Contractor's findings, recommendations, and conclusions. | Firm Fixed Price On-Site (at the Courts) \$ _____ |
| 0006 | Task 6 Additional Services in preparation of the FY 2014 Financial Statements subject to Task Orders (TOs) | Deliverables: To be determined, if applicable and necessary during status meetings conducted throughout the engagement. | Firm Fixed Price On-Site (at the Courts) \$ _____ |
| TOTAL Ceiling Price for Contract Option Period Four -- January 1, 2019 through December 31, 2019 | | | \$ _____ |

**REQUEST FOR PROPOSAL FOR A FINANCIAL AUDIT OF
THE DISTRICT OF COLUMBIA COURTS'**

3. CONTRACT PERIOD:

3.1 The base term of the contract shall be for one year from the date of award of the Contract. The date of award shall be the date the Contracting Officer signs the contract document.

3.2 Option Period:

- (A) The Courts may extend the term of this contract for a period of four (4) additional one (1) year periods or portions thereof.
- (B) Option to Extend the Term of the Contract:
- (C) The Courts may extend the term of this contract for four (4) additional one (1) year periods by written notice to the Contractor before the expiration of the contract, provided that the Courts shall give the Contractor a preliminary written notice of its intent to extend at least 30 days before the contract expires. The preliminary notice does not commit the Courts to an extension. The Contractor may waive the 30-day preliminary notice requirement by providing a written waiver to the Contracting Officer prior to expiration of the contract.
- (D) If the Courts exercise this option, the extended contract shall be considered to include this option provision. The exercise of any option under this contract is contingent upon the availability of funds for the respective option period. However, the availability of funds does not obligate the Courts to exercise the option year(s).
- (E) The offeror should include in its price proposal, the price for the base year and all option years identified separately. Failure to submit prices for the base year and all option years may cause the Courts to exclude the offer from further consideration. **The offeror's price proposal for each year shall be based on completing the audit within one hundred and twenty (120) days from the date specified in the Audit Engagement Notification.**
- (F) The total duration of this contract including the exercise of any options under this clause shall not exceed five (5) years. **The contract period for each option year shall be for one (1) year. However, the contractor shall begin and complete all work for each option year within one hundred and twenty (120) days from the date specified in the Audit Engagement Notification.**

**REQUEST FOR PROPOSAL FOR A FINANCIAL AUDIT OF
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3.3 PERIOD OF PERFORMANCE AND COMMENCEMENT OF WORK:

The period of performance shall be for one hundred and twenty (120) days from the date cited in the Notice to Commence Work. The Courts and Contractor shall mutually agree upon the work starting date. The Courts shall provide notification to the Contractor of the date for the audit engagement period for the base year and each option year when the contract is extended for that fiscal year.

4. TYPE OF CONTRACT

The Courts intend to award a firm-fixed price contract.

5. SECURITY CLEARANCE AND IDENTIFICATION/BUILDING PASS

The Contractor shall coordinate with the COTR to assure that any employee requiring access to any Courts facilities has a contractor identification/building pass before the employee enters on duty under this contract. Personnel designated by the COTR or Authorized Representative shall complete appropriate forms specified for security clearance requirements. The Contractor shall see that all passes are returned to the Courts as employees are dismissed, terminated or when the need for the employee to have access to any of the Courts facilities no longer exists.

**6. CONTRACTING OFFICER (CO) AND CONTRACTING OFFICER'S
TECHNICAL REPRESENTATIVE (COTR)**

Contracting Officer: The District of Columbia Superior Court Contracting Officer who has the appropriate contracting authority is the only Courts official authorized to contractually bind the Courts through signing contract documents. All correspondence to the Contracting Officer shall be forwarded to:

Mr. Louis W. Parker, Administrative Officer
Administrative Services Division
District of Columbia Courts
616 'H' Street, N.W., Room 622
Washington, D.C. 20001
Telephone Number: (202) 879-0476
Facsimile Number: (202) 879-2835

**REQUEST FOR PROPOSAL FOR A FINANCIAL AUDIT OF
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- 6.1 Contracting Officer's Technical Representative (COTR):** The COTR is responsible for general administration of the contract and advising the Contracting Officer as to the Contractor's performance or non-performance of the contract requirements. In addition, the COTR is responsible for the day-to-day monitoring and supervision of the contract. The COTR shall be:

Mr. Darryl J. Lesesne
Chief Internal Auditor
500 Indiana Avenue, N.W.
Washington, D.C. 20001
Telephone Number: 202-879-1783

7. QUESTIONS

Questions concerning this Request for Proposals must be directed in writing to:

Darlene D. Reynolds, CPPB
Senior Contract Specialist
Procurement and Contracts Branch
Administrative Services Division
District of Columbia Courts
616 H Street, NW, Suite 612
Washington, D.C. 20001
Telephone Number: (202) 879-2872
Facsimile Number: (202) 879-2835
E-mail: darlene.reynolds@dcsc.gov

8. EXPLANATION TO PROSPECTIVE BIDDERS

Any prospective Offeror desiring an explanation or interpretation of this solicitation must request the explanation or interpretation in writing at no later than **Friday, October 24, 2014** Requests should be e-mailed to Darlene Reynolds, Contract Specialist at darlene.reynolds@dcsc.gov.

9. PROPOSAL SUBMISSIONS:

- 9.1** Each firm shall submit technical and price proposals in accordance with the performance of work specified under the Scope of Services section. At a minimum, the Contractor's proposals shall describe how it intends to accomplish the requirements stated in Section 2, Scope of Services and at what price.
- 9.2** Please note: This request is NOT an actual task order. It is a request for proposals from GSA Federal Supply Schedule Contractors.
- 9.3** All firms submitting proposals in reference to this Request shall include a copy of their current GSA Federal Supply Contract(s).

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- 9.4** Each firm shall submit **an original and FIVE (5) copies of their technical proposals and FIVE (5) copies of their price proposals under separate cover**. Proposals shall be submitted in a sealed envelope clearly marked in the lower left corner with the following:

SOLICITATION NUMBER: DCSC-15-FS-0002

**TITLE: "FINANCIAL AUDITING SERVICES OF THE DISTRICT
OF COLUMBIA COURTS"**

**CLOSING DATE/TIME: Thursday, November 6, 2014, no later than 2:00 p.m.
EST**

- 9.5** Offerors submitting their proposals by **hand-delivery/courier services** must hand deliver their proposals to the following address:

District of Columbia Superior Court
Office of Contracts and Procurement
Attention: Darlene D. Reynolds, Senior Contract Specialist
701 7th Street, NW, Suite 622
Washington, DC 20001
Phone Number: 202-879-2872

- 9.6** Offerors submitting their proposals by **mail** must mail their proposals to the following address:

District of Columbia Superior Court
Office of Contracts and Procurement
Attn: Darlene D. Reynolds, Senior Contract Specialist
616 H Street, NW, Suite 622
Washington, DC 20001

10. TECHNICAL PROPOSAL FORMAT AND CONTENT

- 10.1** Volume I – Technical Proposal shall be comprised of the following Sections:

| | Description |
|---|---|
| A | General Information |
| B | Work Plan—Technical Approach |
| C | Qualifications of Engagement Team |
| D | Supervision over Engagement Team by Firm's Management |
| E | Past Performance |

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10.2 Section A – General Information

The Contractor shall provide in Section A of the proposal a brief description of its organization to include:

- (A) Brief description of Company;
- (B) Name, address, telephone number, Tax Identification Number, DUNS Number of the Offeror;
- (C) Whether the Offeror is a corporation, joint venture, partnership (including type of partnership) or individual;
- (D) Name, address and current phone number of Offeror's contact person.

10.3 Section B – Work Plan/Technical Approach

The offeror's technical proposal shall, at a minimum:

- (A) Demonstrate the Contractor's understanding of the requirements;
- (B) Describe the Contractor's technical and management approach to accomplish the requirements within the required 120 days time frame and previous experience (past performances) in performing similar Federal financial audits;
- (C) Identify the milestones or work breakdown structures;
- (D) Describe the skill categories of staff to be used (assigned staff should have accounting/auditing degrees; provide resumes of all key personnel);
- (E) Describe which portions of the effort will be subcontracted, if any;
- (F) Describe the number of hours required to accomplish the work effort for each item, milestone, or work breakdown structure separated by supervisory and nonsupervisory hours; and
- (G) Identify deliverables, such as progress reports and draft/final reports.

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10.4 Section C – Qualifications of Engagement Team

- (A) Resumes of Key Personnel

10.5 Section D – Supervision over Engagement Team by Firms Management

- (A) Project Plan
- (B) Resumes of Key Personnel

10.6 Section E – Past Performance

Provide three (3) letters of reference for projects equal to or larger in scope than this solicitation size to the Courts to include information about previously performed District or Federal or private entity contracts providing similar and/or like services, inclusive of dates of contract. Each reference shall address:

- (A) Technical Knowledge
- (B) Timely Service/Delivery
- (C) Positive working attitude
- (D) Customer Satisfaction
- (E) Contact Information

**** Note:** Attachment J.9 may be used; (3) references are still required.

10.7 Volume II – Price Proposal

The offeror's price proposal shall include and identify all costs for the base period and all potential option years. At a minimum, your price proposal shall:

- (A) Identify the number of hours, hourly rates, skill categories and extended prices; and
- (B) Identify the total price, including a summary of all items proposed for the base year and four (4) option year renewal periods.

11. EVALUATION OF PROPOSALS:

- 11.1** The contract will be awarded to the firm whose offer is most advantageous to the Courts, based upon the evaluation criteria specified below. Thus, while the points in the evaluation criteria indicate their relative importance, the total scores will not necessarily be determinative of award. Rather, the total score will guide the Courts in making an intelligent award decision based upon the evaluation criteria. The Courts reserves the right to reject any or all proposals determined to be untimely, inadequate, or unacceptable or based on previous Contractor performance. The Courts may award a contract upon the basis of initial offers

**REQUEST FOR PROPOSAL FOR A FINANCIAL AUDIT OF
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received, without discussions. Therefore, each initial offer should contain the best terms.

- 11.2** To be responsive the Offeror must address all the requirements of the solicitation and must include all information specifically required in all sections of the solicitation. The Offeror must state *how* it will meet the requirements; repeating back the words of the RFP or responding with product sales literature is not acceptable.

11.3 Evaluation and Selection Criteria

Proposals will be evaluated with points assigned to each section as follows:

| | <u>Point Range</u> |
|---|--------------------|
| 11.4 <u>Work Plan</u> | |
| Firm's Approach to Proposed Engagement | 0-30 |
| 11.5 <u>Engagement Team – Staffing and Supervision</u> | |
| A. Qualifications of Engagement Team | 0-30 |
| B. Supervision to be exercised over the engagement team by firm's management | 0-15 |
| 11.6 <u>Past Performance</u> | |
| Experience with similar types of audits and similar clients | 0-25 |
| TOTAL: | 100 points |

12. LIST OF ATTACHMENTS

The following documents are incorporated and hereby made a part of this solicitation:

- J.1 General Provisions Applicable to D.C. Courts Contracts
- J.2 Anti-Collusion Statement
- J.3 Ethics in Public Contracting
- J.4 Non-Discrimination
- J.5 Certification of Eligibility
- J.6 Tax Certificate Affidavit
- J.7 Certification Regarding a Drug-Free Workplace
- J.8 District of Columbia Courts Release of Claims
- J.9 Past Performance Evaluation Form